

CERTIFICATE OF MAILING
37 C.F.R. 1.8

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below:

October 31, 1997
Date

Teresa J. Bowles
Teresa J. Bowles

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

John B. Goodenough, Akshaya K. Padhi,
K.S. Nanjundaswamy and Christian
Masquelier

Serial No. 08/840,523

Filed: April 21, 1997

For: CATHODE MATERIALS FOR
SECONDARY (RECHARGEABLE)
LITHIUM BATTERIES

Group Art Unit: Unknown

Examiner: Unknown

Atty. Dkt. No.: UTSB:610/BOW

REQUEST FOR COMPLETE FILING RECEIPT

12/11/1997 SBLIZZAR 00000002 DAN:012508 08840523
01 FC:576 25.00 CH

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

A complete filing receipt is hereby requested in view of the fact that the inventors' addresses do not appear in the original. For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the omittance has been noted in red.

Because the omittance is not due to any error by Applicant, ~~no fee is believed to be due in~~
connection with the filing of this document. However, should any fee under 37 C.F.R. §§ 1.16 to

1.21 be deemed necessary for any reason relating to this document, the Commissioner is hereby authorized to deduct said fee from Arnold, White & Durkee Deposit Account No. 01-2508/UTSB:610/BOW.

Please date stamp and return the enclosed postcard evidencing receipt of these materials.

Respectfully submitted,

Teresa J. Bowles

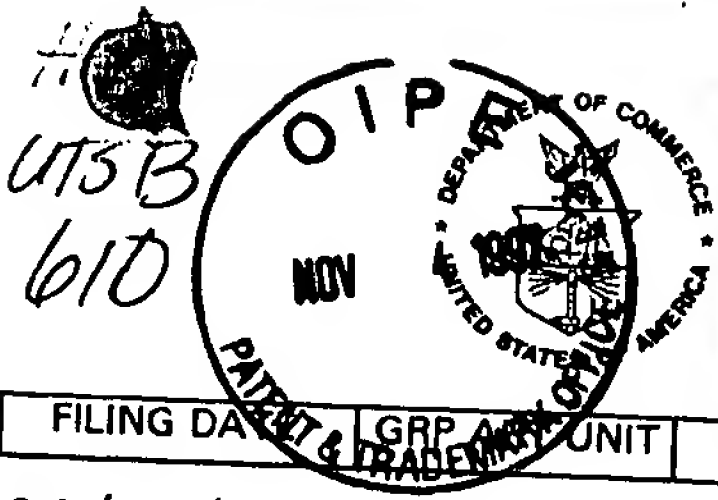
Teresa J. Bowles
Reg. No. 40,526

ARNOLD, WHITE & DURKEE
P.O. Box 4433
Houston, Texas 77210
(512) 418-3000

Attorney for Applicant

Date: October 31, 1997

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP. ART. UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
08/840,523	04/21/97	2111	\$0.00 UTSB.610		15	37	8

TERESA J BOWLES
ARNOLD WHITE & DURKEE
POST OFFICE BOX 4433
HOUSTON TX 77210-4433

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

JOHN B. GOODENOUGH, *Austin, Texas*; AKSHAYA K. PADHI, *LaSalle, Illinois*; K.S.
NANJUNDASWAMY, *Joplin, Missouri*; CHRISTIAN MASQUELIER, *Billan Court, France*

CONTINUING DATA AS CLAIMED BY APPLICANT-
PROVISIONAL APPLICATION NO. 60/032,346 12/04/96
PROVISIONAL APPLICATION NO. 60/016,060 04/23/96

FOREIGN FILING LICENSE GRANTED 09/24/97

TITLE

CATHODE MATERIALS FOR SECONDARY (RECHARGEABLE) LITHIUM
BATTERIES

PRELIMINARY CLASS: 320

REC'D - A.W.D.

SEP 29 1997

DOCKET DESK

STATUS INQUIRY
O. G. List

(see reverse)

Sector #
#3



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For: CATHODE MATERIALS FOR
SECONDARY (RECHARGEABLE)
LITHIUM BATTERIES

Group Art Unit: Unknown

Examiner: Unknown

Atty. Dkt. No.: UTSB:610/BOW

RESPONSE TO 37 C.F.R. § 1.53(D) NOTICE

BOX MISSING PART

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application Under 37 C.F.R. § 1.53(d), dated September 24, 1997, there are enclosed herewith:

- (a) Declaration executed on behalf of John B. Goodenough, Akshaya K. Padhi, K.S. Nanjundaswamy and Christian Masquelier;

- (b) A Power of Attorney on behalf of Board of Regents, The University of Texas System;
- (c) A Declaration Claiming Small Entity Status executed on behalf of Board of Regents, The University of Texas System;
- (d) A Request for Correct Filing Receipt;
- (e) Our check in the amount of \$852.00 to cover the basic filing fee (\$395.00-small entity; surcharge for late filing (\$65.00); and additional claims fee (\$392.00); and
- (f) A copy of Notice to File Missing Parts of Application-Filing Date Granted.

An Assignment to Board of Regents, The University of Texas System and a check for \$40.00 are being filed under separate cover.

If the check is inadvertently omitted, or should any additional fees under 37 C.F.R. §§ 1.16 to 1.21 be required for any reason relating to the enclosed materials, or should an overpayment be included herein, the Assistant Commissioner is authorized to deduct or credit said fees from or to Arnold, White & Durkee Deposit Account No. 01-2508/UTSB:610/BOW.

Please date stamp and return the accompanying postcard to evidence receipt of these documents.

Respectfully submitted,

Teresa J. Bowles

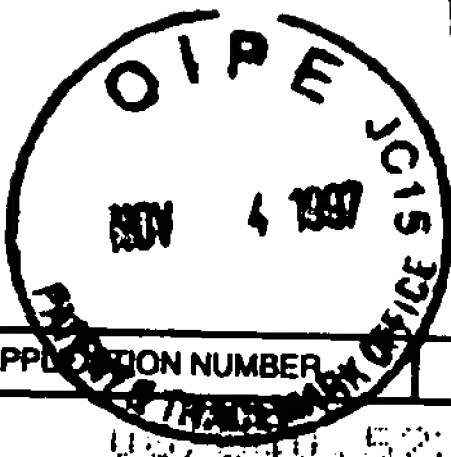
Teresa J. Bowles

Reg. No. 40,526

Attorney for Applicants

ARNOLD, WHITE & DURKEE
P.O. Box 4433
Houston, Texas 77210
(513) 418-3000

Date: October 31, 1997


**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

 Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER 057,540,523	FILING/RECEIPT DATE 04/21/97	FIRST NAMED APPLICANT GOODENOUGH	ATTORNEY DOCKET NO./TITLE J UT9B.610
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0222/0224

 TERESA J BOWLES
ARNOLD WHITE & BURKEE
POST OFFICE BOX 4433
HOUSTON TX 77210-4433

NOT ASSIGNED

2111

DATE MAILED:

09/24/97

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. However, the items indicated below are missing. The required items and fees identified below must be timely submitted **ALONG WITH THE PAYMENT OF A SURCHARGE** for items 1 and 3-6 only of \$ 130.00 for a ☒ large entity ☐ small entity in compliance with 37 CFR 1.27. The surcharge is set forth in 37 CFR 1.16(e). Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required above to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

If all required items on this form are filed within the period set above, the total amount owed by applicant as a
☒ large entity ☐ small entity (verified statement filed), is \$ 1674.00

☒ 1. The statutory basic filing fee is:

☒ missing.

☐ insufficient.

 Applicant must submit \$ 770.00 to complete the basic filing fee and/or file a verified small entity statement claiming such status (37 CFR 1.27).

☒ 2. Additional claim fees of \$ 774.00, including any multiple dependent claim fees, are required. Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

☒ is missing.

☐ does not cover the newly submitted items.

☐ does not identify the application to which it applies.

☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are:

☐ missing.

☐ by a person other than inventor or person qualified under 37 CFR 1.42, 1.43, or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$ _____ processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application does not comply with the Sequence Rules.

See attached "Notice to Comply with Sequence Rules" 37 CFR 1.821-1.825."

☐ 9. OTHER:

Direct the response and any questions about this notice to Attention: Box Missing Parts."

A copy of this notice MUST be returned with the response.

 Customer Service Center
Initial Patent Examination Division (703) 308-1202

 12/03/1997
01 FC:201
02 FC:205
03 FC:203
04 FC:202